Qcrypt tutorial: Security analysis of practical QKD

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Context and motivation

The security of practical QKD is an area of active research in the community.

Here, we focus on the security of finite-length keys and some of the latest results on the security of QKD with imperfect transmitters.

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Tutorial topics:

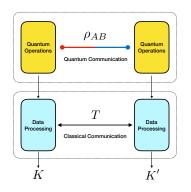
- Security of QKD (concepts and tools)
- 2 Example 1: finite-key security of BBM92
- Numerical methods for QKD
- General framework and recent developments
- Example 2: MDI-QKD with security against arbitrary Trojan-horse attacks

What is quantum key distribution (QKD)?

It is the art of using quantum systems to exchange cryptographic keys between two remote parties who are connected by a pair of channels: an authenticated classical channel and an insecure quantum channel.

 $^{^{1}\}mathrm{For}$ this, we need to assume that the users have access to some initial pool of secret keys.

It is the art of using quantum systems to exchange cryptographic keys between two remote parties who are connected by a pair of channels: an authenticated classical channel and an insecure quantum channel.



The protocol is a LOCC (local operations & classical comms) map:

$$\mathcal{E}_{AB \to KK'T}^{QKD}: \rho_{AB} \to \rho_{KK'T},$$

where K and K' are Alice's and Bob's secret key registers and \mathcal{T} is the register capturing all of classical information exchanged over the public channel. Moreover,

$$\rho_{AB} = \text{Tr}_{E}(|\Psi\rangle\langle\Psi|_{ABE}).$$

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Modeling protocol outputs

Let K and K' take values from $\mathcal{K}_\ell \cup \{\bot\}$, where $\mathcal{K}_\ell := \{0,1\}^\ell$ and \bot indicates *protocol failure* (hash error, high QBER, etc).

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The output state is then given by

$$\mathcal{E}_{AB\to KK'T}^{\rm QKD}(|\Psi\rangle\!\langle\Psi|_{ABE}) = \rho_{KK'TE},$$

where

$$\rho_{KK'TE} := \rho_{\perp} |\perp, \perp \rangle \langle \perp, \perp|_{KK'} \otimes \sigma_{TE} + \tau_{KK'TE}, \tag{1}$$

 p_{\perp} is the abort probability and

$$\tau_{\mathit{KK'TE}} := \sum_{k,k' \in \mathcal{K}_{\ell}} P_{\mathit{KK'}}(k,k') \big| k,k' \big| \big| k,k' \big| \big|_{\mathit{KK'}} \otimes \underbrace{\tau_{\mathit{TE}}^{k,k'}}_{\mathsf{Eve's quantum side info}}$$
 (2)

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Eve's quantum side info

Note that $\tau_{KK'TE}$ is sub-normalised with its trace giving the probability that the protocol succeed,

$$Tr(\tau_{KK'TE}) = 1 - p_{\perp}. \tag{3}$$

Recall that the goal of QKD is to produce a pair of perfectly correlated secret keys. These conditions suggest that the ideal output state is of the form,

$$\rho_{KK'TE}^{\text{ideal}} = p_{\perp} |\perp, \perp \rangle \langle \perp, \perp|_{KK'} \otimes \sigma_{TE} + \underbrace{\omega_{KK'} \otimes \tau_{TE}}_{\text{product state}}, \tag{4}$$

where

$$\omega_{KK'} := \sum_{k,k' \in \mathcal{K}_{\ell}: k = k'} 2^{-\ell} |k, k'\rangle\langle k, k'|_{KK'}, \tag{5}$$

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is a perfectly uniform state with perfectly correlated outcomes between K and $K^{\prime}.$ Likewise, we have that

$$\operatorname{Tr}(\omega_{KK'} \otimes \tau_{TE}) = 1 - p_{\perp}.$$
 (6)

Def: Security criterion

We say that the protocol $\mathcal{E}_{AB \to KK'T}^{\text{KLO}}$ is ϵ_{QKD} -secure if its output satisfies the so-called trace-distance criterion^a:

$$\frac{1}{2} \left\| \rho_{KK'TE} - \rho_{KK'TE}^{\text{ideal}} \right\|_{1} \le \epsilon_{\text{QKD}}. \tag{7}$$

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Since the protocol is by definition secure when it aborts, the criterion can be expressed as

$$\frac{1}{2} \left\| \rho_{KK'TE} - \rho_{KK'TE}^{\mathsf{ideal}} \right\|_{1} \leq (1 - p_{\perp}) \frac{1}{2} \left\| \tilde{\tau}_{KK'TE} - \omega_{KK'} \otimes \tilde{\tau}_{TE} \right\|_{1}, \tag{8}$$

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where $\tilde{\tau}_{\textit{KK'TE}}$ and $\tilde{\tau}_{\textit{TE}}$ are renormalized states (with $1-p_{\perp}$).

Importantly, this notion of security possesses the property of *composability*, in the sense that it preserves the security (error) of the protocol even if it is embedded into a larger crypto-system.

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Correctness & Secrecy Criteria

The central goal is to establish a tight bound on security error in terms of the protocol parameters (block size, QBER threshold, key length, etc). The security of QKD can be analyzed in two (independent) parts—correctness and secrecy.²

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Important: A protocol that is $\varepsilon_{\text{corr}}$ -correct and ε_{sec} -secret is $(\varepsilon_{\text{corr}} + \varepsilon_{\text{sec}})$ -secure.

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Classical post processing—key distillation engine

The goal of classical post processing (CPP) is to convert a weakly correlated and weakly secret raw key^3 pair, denoted by (X, X'), into an identical secret key pair (K, K').

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Basically, the finite-key security of QKD studies the maximization of the extractable secret key length (denoted by ℓ) via the optimisation of these errors and protocol parameters.

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Security of QKD Parameter estimation: random sampling without replacement (part 1) Parameter estimation is needed in QKD to infer the amount of information (of the raw key) that is leaked out to environment (Eve).

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Basic problem: Suppose a binary sequence $\{w_1, w_2, \ldots, w_N\}^4$ of length N and a random sample of size k is drawn (without replacement). The goal is the infer the number of 1's/errors in the remaining sequence (of size n = N - k) by analyzing the statistics of the random sample.

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The probability of interest 5 (for a given tolerated error rate δ and non-negative deviation gap ν) is defined as

$$\mathbb{P}_{\mathsf{pe}}(\delta, \nu) := \mathsf{Pr}\left[\left(\overline{W}_{\mathsf{pe}} \le \delta\right) \cap \left(\overline{W}_{\mathsf{key}} \ge \delta + \nu\right)\right],\tag{11}$$

where $\overline{W}_{\rm pe}$ and $\overline{W}_{\rm key}$ are the random error rates of the random sample and final raw key, respectively.

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⁵See Tomamichel & Leverrier, Quantum 1, 14 (2017) and Lim et al. Phys. Rev. Lett. 126, 100501 (2021).

Parameter estimation: random sampling without replacement (part 2)

The event $(\overline{W}_{\rm pe} \leq \delta) \cap (\overline{W}_{\rm key} \geq \delta + \nu)$ defines a bad scenario: the random sample admits an error rate that is smaller than the tolerated error rate and the final raw key contains more errors than allowed.

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This means that the parameter estimation step has failed and the probability of a bad event happening can be upper bounded by

Lemma: error bound based on Serfling's inequality

$$\mathbb{P}_{\mathsf{pe}}(\delta,\nu) \le {}^{\mathsf{a}} \exp\left(-2\nu^2 \frac{(N-k)k^2}{N(k+1)}\right). \tag{12}$$

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Notice that Serfling's inequality 6 (like Hoeffding's inequality) is pretty general and applies to non-binary valued sequences as well.

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Parameter estimation: random sampling without replacement (part 3)

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Lemma: error bound based on Hush and Scovel's hypergeometric inequality

For any $\nu>\xi>0$ such that $N(\delta+\xi)\in\mathbb{Z}^+$ and $n^2(\nu-\xi)^2>1$,

$$\mathbb{P}_{\mathsf{pe}}(\delta,\nu) \le {}^{\mathsf{a}} \exp\left(-\frac{2Nk\xi^2}{n+1}\right) + \exp\left(-2\Gamma_{N(\delta+\xi)}((n\nu')^2 - 1)\right),\tag{13}$$

where $\nu':=\nu-\xi$ and $\Gamma_{N(\delta+\xi)}:=rac{1}{N(\delta+\xi)+1}+rac{1}{N-N(\delta+\xi)+1}.$

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Food for thought: It is plausible that the above bound can be further improved using the results in Bancal et al. Quantum 5, 401 (2021) and Yin & Chen, Sci. Rep. 9 17113 (2019).

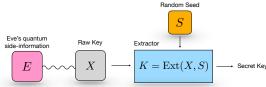
Privacy amplification (part 1)

Roughly speaking, the goal of privacy amplification⁷ is to turn a weakly random source X (which is correlated with quantum system E) to one that is *almost* uniform and independent of E.

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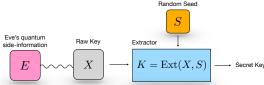
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Definition: Quantum-proof strong extractor

A function Ext : $\{0,1\}^n \times \{0,1\}^r \to \{0,1\}^\ell$, is a quantum (k,ε) -strong extractor^a with uniform seed S (r bits), if for any ρ_{XE} with $H_{\min}(X|E) \geq k$, its output satisfies

$$\frac{1}{2} \| \rho_{\mathsf{Ext}(X,S)\mathsf{SE}} - \rho_{U_{\ell}} \otimes \rho_{\mathsf{S}} \otimes \rho_{\mathsf{E}} \|_{1} \le \varepsilon, \tag{14}$$

where U_{ℓ} is uniform over \mathcal{K}_{ℓ} .

^aSee Section 2.6. in Koenig & Renner, IEEE Trans. Inf. Th., 57, 4760 (2011).

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Privacy amplification (part 2)

Key points for tutorial:

• Two-universal hashing⁸ can be used to build quantum-proof strong extractors⁹.

⁸A family \mathcal{F} of hash functions taking $\{0,1\}^n \to \{0,1\}^m$ is called universal if for any randomly chosen function f from the family and $x \neq y$, $\Pr[f(x) = f(y)] \leq 1/2^m$.

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Lemma: leftover hashing against quantum side-information

Let ρ_{XE} be a classical-quantum state and $\mathcal{F} = \{f_s : \{0,1\}^n \to \{0,1\}^\ell\}$ be a universal family with $Z = f_s(X)$. Then^a,

$$\Delta_{t}(\rho_{ZSE}, \rho_{U_{\ell}} \otimes \rho_{S} \otimes \rho_{E}) \leq \frac{1}{2} \sqrt{2^{\ell - H_{\min}^{\epsilon_{1}}(X|E)_{\rho}}} + \varepsilon_{1}.$$
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Impt: Pick the right output length ℓ :

$$\ell = \left\lfloor H_{\mathsf{min}}^{\varepsilon_1} \left(X | E \right)_{\rho} - 2 \log_2 \frac{1}{2\varepsilon_2} \right\rfloor \Rightarrow \Delta_t (\rho_{\mathit{ZSE}}, \rho_{U_\ell} \otimes \rho_{\mathit{S}} \otimes \rho_{\mathit{E}}) \leq \varepsilon_1 + \varepsilon_2.$$

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fill-in-the-blank.

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- In general, the direct computation of smooth min-entropy is an open question—even in the case of qubit channels, the set of compatible bipartite states (for typical block sizes $\sim 10^4$ $10^9)$ is impossible to characterise.

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Bounding the smooth min-entropy (part 2)

It has been observed (for some protocols) that it is sufficient to consider security against collective attacks¹³ in the asymptotic limit.

 $^{^{13}}$ In this case, the bipartite state of interest $ho_{XE}=
ho_{X_1E_1}\otimes
ho_{X_2E_2}\otimes\dots
ho_{X_nE_n}$ assumes a tensor product form.

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 - Entropy accumulation theorem (EAT): Dupuis, Fawzi & Renner, Commun. Math. Phys. 379, 867–913 (2020); Arnon-Friedman et al. Nat Commun 9, 459 (2018); Schwonnek et al. Nat Commun 12, 2880 (2021).
 - ullet See also the presentation (contributed talk 2b #2) by Ernest Tan.

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Security based on entropic uncertainty relations (part 1)

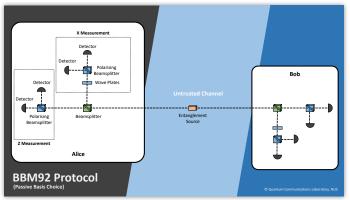


Figure: Bennett-Brassard-Mermin 1992 (BBM92) Entanglement-based QKD with passive-basis choice

Important assumptions:

- Untrusted source but measurements must be trusted (squashing model is required).
- The POVM elements corresponding to the inconclusive outcome are identical.

Security based on entropic uncertainty relations (part 2)

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Protocol settings (block size m, random sample size k, deviation δ , syndrome size r, hash size t, and output key size ℓ):

1. Measurement. Alice and Bob agree on a random binary string $\Phi \in \{0,1\}^m$ over an authenticated public channel and measure their respective quantum signals using this string. They then agree on a random sample (drawn without replacement) of size k from the entire measurement data set and store them into two pairs of strings: (X,V) for Alice and (Y,W) for Bob. Here, X and Y are random strings taking values in $\{0,1\}^n$; thus V and W take values in $\{0,1\}^k$. Note that m=n+k.

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- 2. Parameter estimation. Alice publicly sends V to Bob, who then computes the error rate between V and W, i.e., $\overline{Z}_{\mathrm{pe}} := |V \oplus W|/k$. If the error rate exceeds the tolerated error rate δ , they abort the protocol. Otherwise, they proceed to the next step. This decision is stored in a binary-valued flag $F_{\mathrm{pe}} \in \{\checkmark,\varnothing\}$, where \checkmark means successful and \varnothing means abort.

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- **3. One-way error correction.** Alice sends Bob a syndrome T of length r which is computed from her raw key X. Then Bob generates an estimate of Alice's raw key, X', from Y and T. To verify that the correction is successful, Alice computes a hash H(X) (of length t) of X and sends it to Bob, who then compares it with his hash H(X'). If the hash values are different (i.e., $H(X) \neq H(X')$), they abort the protocol; this decision is stored in $F_{\rm ec} \in \{\checkmark, \varnothing\}$.

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- **4. Privacy Amplification.** Alice and Bob perform randomness extraction based on two-universal hashing to extract an identical secret key pair, K and K', each of length ℓ , from X and X', respectively.

Security based on entropic uncertainty relations (part 3)

Thm: Security bound

For the QKD protocol described above with fixed settings, it is $\varepsilon_{\rm qkd}$ -secure if there exists $\nu \in (0,1/2-\delta]$ satisfying^a

$$\underbrace{2^{-t}}_{\text{VER error}} + \underbrace{2\varepsilon_{\text{pe}}(\nu)}_{\text{PE error}} + \underbrace{\varepsilon_{\text{pa}}(\nu)}_{\text{PA error}} \le \varepsilon_{\text{qkd}}, \tag{16}$$

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Impt: The sampling error above is based on Serfling's inequality, Eq. (12), and can be tighten using Eq. (13).

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Security based on entropic uncertainty relations (part 4)

Optimisation program

To maximize ℓ , consider a program parameterized by a bounded set of four-dimensional real vector, $\vec{x} = (\alpha, \beta, \nu, \xi)$. The block length m, tolerated error rate δ , correctness error $2^{-t} = 10^{-(s+2)}$, and security parameter $\varepsilon_{\rm qkd} = 10^{-s}$ are fixed.

$$\begin{aligned} \max_{\vec{x} \in \mathbb{R}^4} & & \ell = \lfloor \alpha m \rfloor \\ \text{s.t.} & & 2^{-t} + 2\varepsilon_{\mathrm{pe}}'(\nu, \xi) + \varepsilon_{\mathrm{pa}}(\nu) \leq \varepsilon_{\mathrm{qkd}}, \\ & & & \alpha \in [0, 1], \beta \in (0, 1/2], \\ & & & 0 < \xi < \nu < 1/2 - \delta, \end{aligned}$$

where $k = \lfloor \beta m \rfloor$ is the number of bits allocated to parameter estimation and $r = 1.19 h_2(\delta)$ is the expected error correction leakage.

- The secret key rate is $\alpha:=\ell/m$, the number of extractable secret bits divided by block size.
- \bullet The correctness is always two orders of magnitude smaller than $\varepsilon_{qkd}.$
- We apply this analysis to the BBM92 QKD experiment data from Yin et. el. Nature 582, 501–505 (2020).

Security based on entropic uncertainty relations (part 5)

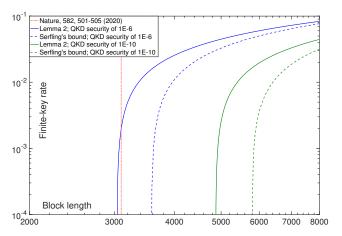


Figure: Numerically optimized finite-key rate ℓ/m vs block length m for s=6,10. In this simulation, the tolerated error rate is set to $\delta=4.51\%$. The (red) vertical line represents the block length (m=3100 bits) obtained in the Micius QKD experiment, which gives a finite-key rate of 1.962×10^{-3} based on $\varepsilon_{\rm qkd}=10^{-6}$. The optimized parameters are $\vec{x}_{\rm opt}=\{1.962\times 10^{-3},0.5,0.1141,0.0693\}$.

Let the computer do the job-be it device-dependent or device-independent

Given there are pretty good proof techniques for converting collective attacks bounds to general attacks bounds, it is of interest to explore methods that would give tight bounds on single-round entropy.

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The relevant measure is given by the conditional von Neumann entropy of X_i given E_i :

$$H(X_i|E_i) \ge \frac{\text{fill-in-the-blank}}{\text{fill-in-the-blank}}$$

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- Tan et al. arXiv:1908.11372 (2019); device-independent
- Brown, Fawzi, & Fawzi. Nat Commun 12, 575 (2021); device-independent
- Schwonnek et al. Nat Commun 12, 2880 (2021); device-independent
- Brown, Fawzi, & Fawzi. arXiv:2106.13692 (2021)¹⁴; device-independent

 $^{^{14}}$ See presentation (contributed talk 3a #3) by Peter Brown.

Versatile security analysis of MDI-QKD; Phys. Rev. A 99, 062332 (2019)

Let's focus on measurement-device-independent QKD (MDI-QKD)¹⁵

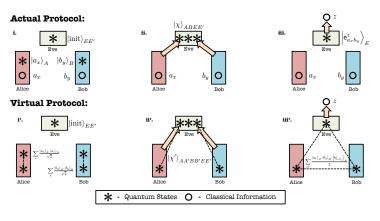


Figure: Virtual protocol for arbitrary MDI-QKD protocols.

 $^{^{15}}$ See Lo, Curty & Bing Phys. Rev. Lett. 108, 130503 (2012) and Braunstein & Pirandola Phys. Rev. Lett. 108, 130502 (2012).

Versatile security analysis of MDI-QKD; Phys. Rev. A 99, 062332 (2019)

Let the quantum states prepared by Alice and Bob be denoted by $\{|a(a_x)\rangle_A\}_{a_x}$ and $\{|b(b_y)\rangle_B\}_{b_y}$, respectively, where a and b are the bit values while x and y are the corresponding basis choices.

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The untrusted quantum channel and central measurement can be collectively viewed as a quantum-to-classical map:

$$|\mathsf{a}(a_x)\rangle_A |\mathsf{b}(b_y)\rangle_B \to \sum_{\substack{z \ \text{Eve's quantum information}}} |\mathsf{e}_{x_y}\rangle_E |z\rangle_{E'},$$
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where z is the classical announcement made by the central node.

The key observation here is that Eve's quantum information forms a Gram matrix G whose entries are constrained by the expected channel parameters and inner-product information of the encoding states:

$$\Lambda_{a_{x}b_{y},a'_{x'},b'_{y'}} = \underbrace{\langle a(a_{x})|a(a'_{x'})\rangle_{A}}_{Alice's IP info} \underbrace{\langle b(b_{y})|b(b'_{y'})\rangle_{B}}_{Bob's IP info}$$

$$= \sum_{z} \underbrace{\langle e^{z}_{a_{x}b_{y}}|e^{z}_{a'_{x'},b'_{y'}}\rangle_{E}}_{Eve's IP info}.$$
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Versatile security analysis of MDI-QKD; Phys. Rev. A 99, 062332 (2019)

The channel parameters like detection probabilities and error rates are characterized by

$$P_{\text{pass}}^{\gamma} = \sum_{a,b} \frac{P(a_{\gamma}, b_{\gamma})}{f_{\gamma}} P(\text{pass}|a_{\gamma}, b_{\gamma})$$

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where f_{γ} is the probability of Alice and Bob both choosing the γ basis and $P(a_{\gamma}, b_{\gamma})$ is the joint probability that Alice chooses a_{γ} and Bob chooses b_{γ} .

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Similarly, the bit-error rate in the γ basis, denoted by $\mathbf{e}_{\mathrm{bit}}^{\gamma},$ can be expressed as

$$e_{\text{bit}}^{\gamma} = P(a \neq b | \text{pass}, x = y = \gamma)$$

$$= \sum_{a \neq b} \frac{P(a_{\gamma}, b_{\gamma})}{P_{\text{pass}}^{\gamma} f_{\gamma}} P(\text{pass} | a_{\gamma}, b_{\gamma})$$

$$= \sum_{a \neq b} \frac{P(a_{\gamma}, b_{\gamma})}{P_{\text{pass}}^{\gamma} f_{\gamma}} \left\langle e_{a_{\gamma} b_{\gamma}}^{\text{pass}} \middle| e_{a_{\gamma} b_{\gamma}}^{\text{pass}} \right\rangle_{E}$$
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where the first equality is from the definition of bit-error rate and the second equality can be easily obtained by applying Bayes rule.

Versatile security analysis of MDI-QKD; Phys. Rev. A 99, 062332 (2019)

In the asymptotic limit, the secret key rate of the protocol is given by

$$R \ge P_{\text{pass}} \left[\underbrace{1 - h_2(e_{\text{ph}})}_{\text{Priv. Amp.}} - \underbrace{h_2(e_{\text{bit}})}_{\text{EC leakage}} \right]. \tag{21}$$

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$$\begin{array}{ll} \text{maximize} & e_{\text{ph}} \\ \text{s.t} & G \succeq 0 \\ & e_{\text{ph}} \leq 1/2 \\ & P_{\text{pass}}^{\gamma} = \sum_{a,b} \frac{P(a_{\gamma},b_{\gamma})}{f_{\gamma}} \left\langle e_{a_{\gamma}b_{\gamma}}^{\text{pass}} \left| e_{a_{\gamma}b_{\gamma}}^{\text{pass}} \right\rangle_{E} \\ & e_{\text{bit}}^{\gamma} = \sum_{a \neq b} \frac{P(a_{\gamma},b_{\gamma})}{P_{\text{pass}}^{\gamma}f_{\gamma}} \left\langle e_{a_{\gamma}b_{\gamma}}^{\text{pass}} \left| e_{a_{\gamma}b_{\gamma}}^{\text{pass}} \right\rangle_{E} \\ & \Lambda_{a_{x}b_{y},a_{x'}'b_{y'}'} = \sum_{z} \left\langle e_{a_{x}b_{y}}^{z} \left| e_{a_{x'}'b_{y'}'}^{z} \right\rangle_{E}. \end{array}$$

Transmitter security in MDI-QKD

The method is **highly versatile** as it requires only the users to define the inner products of the encoding states (including any conceivable side-channel signals).

This naturally allows one to analyze a large family of realistic transmitter side-channel/noise problems:

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Following this body of work, alternative methods for tackling imperfect transmitter security can also be found in

- Pereira, Curty & Tamaki, npj Quantum Inf 5, 62 (2019); Pereira et al. Sci. Adv. 6, eaaz4487 (2020).
- Navarrete et al. Phys. Rev. Applied 15, 034072 (2021); see poster # 172.
- Zapatero et al. arXiv:2105.11165 (2021); see poster # 65.

Power limiter and versatile security analysis of MDI-QKD

Let us now consider a generic phase-encoding MDI-QKD setting whereby Eve is allowed to inject arbitrary Trojan-horse signals.

The Trojan-horse state can be written as

$$|\xi\rangle = \sum_{n,m} c_{nm} \underbrace{|n\rangle|m\rangle}_{\text{TH states}} |\mathcal{E}_{nm}\rangle,$$
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After gathering the modulation information from the modulators, the output THA state thus with the form

$$|\xi'_{xy}\rangle = \sum_{n,m} c_{nm} e^{i(nx+my)} \frac{\pi}{2} |n\rangle |m\rangle |\mathcal{E}_{nm}\rangle.$$
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Notice how the Trojan horses accumulate the phase modulation information made by Alice and Bob.

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Then, by using the semidefinite programming, one can compute the maximum phase error rate under the assumption that the input energy of the THA states is bounded by some trusted threshold ν .

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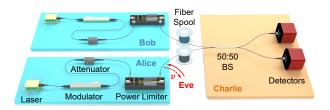
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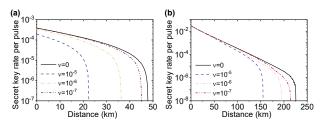
Experimental solutions:

- Laser induced damage threshold (LIDT); Lucamarini et al. Phys. Rev. X 5, 031030 (2015).
- Optical power limiter (passive device based on thermo-optical defocusing effects);
 Zhang et al. PRX Quantum 2, 030304 (2021).

Power limiter and versatile security analysis of MDI-QKD



(a) Phase-encoding MDI-QKD with power limiters.



(b) Left & right parameters: (a) detector's efficiency $\eta_{\rm det}=10\%$, dark count rate $p_{\rm dc}=10^{-5}$, (b) detector's efficiency $\eta_{\rm det}=85\%$, dark count rate $p_{\rm dc}=10^{-7}$. Trojan horse photon number ν of 10^{-5} , 10^{-6} , 10^{-7} and 0 are shown.

There are still many interesting problems:

 Numerical methods for finite-key security; see Bunandar et al. npj Quantum Inf 6, 104 (2020).

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- And I am sure you will have some ideas as well!

Thank you! and see you in the meet-the-speaker room!